

Schedule 82

STATE RACING COMMISSION

September 25, 2006

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

SCHEDULE

82

AGENCY, BOARD OR COMMISSION

State Racing Commission

DIVISION, BUREAU OR OTHER UNIT

Supersedes edition June 20, 2005

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

Dennis Olschke
Executive Secretary

DATE

9-17-2006

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

DATE

A. P. B.
STATE ARCHIVES

9-25-06

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

DATE

Jim D. Galt
STATE RECORDS ADMINISTRATOR

9/25/06

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

INDEX

SCHEDULE 82 STATE RACING COMMISSION

	Item	Page
<u>GENERAL RECORDS</u>	82-1	5
ANNUAL TRACK AUDIT REPORTS.....	82-1-2	5
BOOKKEEPER RACE TRACK REPORT	82-1-3	5
DRUG SCREEN TEST RESULTS	82-1-6	5
LABORATORY TAGS	82-1-7	5
LASIX CARDS.....	82-1-8	5
NEBRASKA BRED CERTIFICATE	82-1-4	5
OFFICIAL RACING PROGRAM.....	82-1-5	5
OPEN CLAIM RECORDS	82-1-11	6
PARIMUTUEL DAILY LIABILITY REPORTS	82-1-14	6
PARIMUTUEL POOL PRINTS.....	82-1-15	6
RACING SECRETARY REPORTS	82-1-16	6
RACING FORMS.....	82-1-17	6
RECORDS DISPOSITION REPORT (BLANK FORM)		9
SIMULCASTING RECORDS.....	82-1-12	6
SURETY BONDS	82-1-13	6
TRANSFER BOOOKS.....	82-1-18	6
VETERINARY TREATMENTS, REPORT OF	82-1-9	5
<u>LICENSING RECORDS</u>	82-2	6
APPRENTICE CERTIFICATES.....	82-2-1	6
CRIMINAL HISTORY RECORDS AND FINGERPRINT CARDS.....	82-2-9	7
LICENSE APPLICATIONS, OCCUPATIONAL	82-2-4	7
LICENSE APPLICATIONS, RACETRACKS	82-2-8	7
RACING COMMISSION AND STEWARD'S RULINGS	82-2-9	7
<u>OBSOLETE RECORDS</u>		7
ACCIDENT REPORTS (OBSOLETE 2005).....	82-1-10	7
ADMISSION REPORT, DAILY (OBSOLETE 2005)	82-1-1	7
CASE FILES, ADMINISTRATIVE (OBSOLETE 2002).....	82-2-2	7
DATA CARD (OBSOLETE 2002)	82-2-3	7
LICENSES, OCCUPATIONAL (OBSOLETE 2002)	82-2-5	8
RULING INFORMATION FILES, NATIONAL (OBSOLETE 2002).....	82-2-7	8

SCHEDULE NO. 82 - RECORDS OF THE STATE RACING COMMISSION

82-1 GENERAL RECORDS

82-1-2 ANNUAL TRACK AUDIT REPORTS

Annual report submitted to the Commission by each racetrack. This is a financial report of racing activity at each track. Show receipts and expenditures.

Transfer to the State Archives after 3 years, provided audit has been completed; retain permanently.¹

82-1-3 BOOKKEEPER RACE TRACK REPORT

Report(s) prepared by the racetrack bookkeeper. Includes the winner of each race, owner, trainer, weather, etc. Is used to verify other track reports received by the Commission.

Dispose of after 5 years, provided audit has been completed.¹

82-1-4 NEBRASKA BRED CERTIFICATE

Copy of certificate given to owners of Nebraska bred horses. Lists each horse's name, sire, dam, and breeder.

ORIGINAL CERTIFICATE: Transfer to the State Records Center after 6 years; dispose of after 12 years, subject to review by the State Archivist for possible accession.

82-1-5 OFFICIAL RACING PROGRAM

Commission maintains one copy of each official racetrack program with results as marked by the State Steward. Commission also supplies one copy of identically marked programs in bound form to NTBA (Nebraska Thoroughbred Breeders Association).

Transfer to the State Archivist after 5 years, provided audit has been completed; retain permanently.¹

82-1-6 DRUG SCREEN TEST RESULTS

Daily report from a laboratory approved by the Commission giving test results for legal and illegal drugs.

Dispose of after 2 years.

82-1-7 LABORATORY TAGS

The Commission retains half of tag when specimen samples are sent to a laboratory approved by the Commission for testing for legal and illegal drugs.

Dispose of after 2 years.

82-1-8 LASIX CARDS

Cards indicating which horses get bleeder's medication.

Dispose of after 3 years.

82-1-9 VETERINARY TREATMENTS, REPORT OF

Report filed by veterinarians listing drugs administered and/or prescribed to racehorses.

Dispose of after 3 years.

82-1-11 OPEN CLAIM RECORDS

Files of people who have been declared eligible to exercise the option to open claim a horse. Open claim certificate is good for one year.

Dispose of 1 year after eligibility expires.

82-1-12 SIMULCASTING RECORDS

Records resulting when one racetrack simulcasts its races to another racetrack. May include application for simulcasting license by host track and receiving track, simulcast daily report, and final simulcasting data. Each covers only one year.

Dispose of 3 years after racing season ends, provided audit has been completed.¹

82-1-13 SURETY BONDS

Surety bonds submitted by racetracks as required, to hold race meets.

Dispose of after 2 years, provided audit has been completed.¹

82-1-14 PARIMUTUEL DAILY LIABILITY REPORTS

Daily report generated by the computerized tote system which shows the number of dollars wagered by wage type, breakage, track commission, and amount paid to bettors.

Dispose of after 3 years, provided audit has been completed.¹

82-1-15 PARIMUTUEL POOL PRINTS

Reports by each race which show money wagered in each pool by computer cycle.

Dispose of after 1 year.

82-1-16 RACING SECRETARY REPORTS

Reports submitted by racetracks racing secretary at the end of each meet. Reports include rulings issued at the track, claimed horses, and statistical summary of types of races, etc.

Dispose of after 5 years, provided audit has been completed.¹

82-1-17 RACING FORMS

Newspaper with horseracing news.

Dispose of after 1 year.

82-1-18 TRANSFER BOOKS

Books show Steward's transfer of horse ownership or trainer ownership.

Dispose of after 3 years.

82-2 LICENSING RECORDS

82-2-1 APPRENTICE CERTIFICATES

Jockeys under 25 years of age serve an apprenticeship until they win a certain number of races. Old files included contracts between jockeys and trainers. Apprenticeship allows for an advantage on weight allowances.

Retain permanently.

82-2-4 LICENSE APPLICATIONS, OCCUPATIONAL

Applications are submitted for all occupational licenses issued at racetracks. . Applications include name, address, DOB, social security number, fee collected, criminal violations, and violation of racing rules. Applications are renewed annually.

ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.¹

ELECTRONIC DATA: Backup weekly; dispose of after 6 years.

SECURITY BACKUP COPY: Dispose of after 6 years.

82-2-6 RACING COMMISSION AND STEWARD'S RULINGS

Original rulings resulting from hearings held by the Commission or Stewards.

Dispose of after 20 years.

82-2-8 LICENSE APPLICATIONS, RACETRACKS

Applications submitted by racetracks to operate a racetrack in Nebraska. Applications are renewed yearly, approved by the Commission and include name, location of track and race dates.

Dispose of 5 years after application date.

82-2-9 CRIMINAL HISTORY RECORDS AND FINGERPRINT CARDS

Fingerprint cards, criminal history information, and/or affidavit authorizing other state racing commissions to release such information to the Nebraska Racing Commission.

APPLICANTS WITH NO CRIMINAL HISTORY: Dispose of 10 years after applicant has been fingerprinted.

APPLICANTS WITH CRIMINAL HISTORY: Dispose of after 8 years.

OBSOLETE RECORDS

82-1-1 ADMISSION REPORT, DAILY (OBSOLETE 2005)

Daily race track head count.

Dispose of after completion of the annual report.

82-1-10 ACCIDENT REPORTS (OBSOLETE 2005)

A copy of accident reports submitted by jockeys or exercise riders. May include nature of accident and physician's report.

Dispose of after 2 years.

82-2-2 CASE FILES, ADMINISTRATIVE (OBSOLETE 2002)

Numerical files are maintained on people who are troublemakers at the racetracks. Includes rulings, rap sheets, Thoroughbred Racing Association security reports, security officer reports, correspondence, and hearing notes. May cover patrons as well as track employees.

Dispose of 15 years after the case is closed and after reviewed and released by Director of Investigations.

82-2-3 DATA CARD (OBSOLETE 2002)

Cards filed numerically. Used to create new occupational licenses during the 4 year renewal period. May also include lists licensees' height, weight, hair color, sex, and employer.

Dispose of after 4 years; provided an audit has been completed.¹

82-2-5 LICENSES, OCCUPATIONAL (OBSOLETE 2002)

Licenses are issued to all people working at race tracks in Nebraska. Used as a permit to work and as admission to the grandstand and stable areas. Licenses are on photo identification badges which are good for 4 years. Includes occupation, name, and social security number, date of birth, date issued, and age. Sticker validates the license at each race track where the person works during a season.

Dispose of 6 years after expiration of license; provided an audit has been completed.¹

82-2-7 RULING INFORMATION FILES, NATIONAL (OBSOLETE 2002)

Microfiche files are updated monthly and are maintained on rulings and judgments made against racing licenses. Data is maintained on microfiche, which is cumulative for employees in the United States, Canada, Mexico, and Puerto Rico.

Dispose of after superseded.

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet